

APPENDIX D

Graduate Enrolment Data

Distribution of New Registered
Graduate Students (Full-time and
Part-Time) by Discipline Area

CUA FORM D

GRADUATE ENROLMENT DATADISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)BY DISCIPLINE AREA

Instructions:

A new graduate student is defined to be a graduate student who is new to a particular graduate program in the institution. This includes students new to the institution and new to graduate studies in the institution. The number of such new students should be determined for each term and then added up over the three terms to give the number of new graduate students in a given year. The terms should be considered in the order fall, winter, spring so that, for example, the 1970-71 year consists of Fall 1970, Winter 1971, Spring 1971.

		1970-1971		1971-1972		1972-1973		1973-1974	
		ACTUAL		ACTUAL		ACTUAL		ESTIMATED	
AGGREGATE FIGURES									
Full-Time	-Master's	404		406		453		406	
	-Doctoral	133		105		142		111	
	-Other (Specify)								
	-Total	537		511		595		517	
Part-Time	-Master's	39		106		125		87	
	-Doctoral	3		7		7		14	
	-Other (Specify)								
	-Total	42		123		132		101	
FIGURES BY DISCIPLINE AREA									
EDUCATION									
Full-Time	-Master's					5		7	
	-Doctoral								
	-Other (Specify)								
	-Total					5		7	
Part-Time	-Master's								
	-Doctoral								
	-Other (Specify)								
	-Total								

August 1973

FORM CUA-73-D

GRADUATE ENROLLMENT DATA

DISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)

BY DISCIPLINE AREA


	1970-1971 ACTUAL	1971-1972 ACTUAL	1972-1973 ACTUAL	1973-1974 ESTIMATED
<u>FINE AND APPLIED ARTS</u>				
Full-Time				
-Master's				
-Doctoral				
-Other (Specify)				
-Total				
Part-Time				
-Master's				
-Doctoral				
-Other (Specify)				
-Total				
<u>HUMANITIES AND RELATED</u>				
Full-Time				
-Master's	80	71	91	73
-Doctoral	8	5	9	10
-Other (Specify)				
-Total	88	76	100	83
Part-Time				
-Master's	12	16	9	13
-Doctoral	1			
-Other (Specify)				
-Total	13	16	9	13
<u>SOCIAL SCIENCES AND RELATED</u>				
Full-Time				
-Master's				
-Doctoral	72	84	107	94
-Other (Specify)	15	4	19	11
-Total	87	88	126	105

August 1973

GRADUATE ENROLMENT DATADISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)BY DISCIPLINE AREA

		1970-1971		1971-1972		1972-1973		1973-1974 ESTIMATED
		ACTUAL		ACTUAL		ACTUAL		
<u>SOCIAL SCIENCES AND RELATED</u>								
Part-Time	-Master's	5		8		6		2
	-Doctoral	1		-		3		2
	-Other (Specify)							
	-Total	6		8		9		4
<u>AGRICULTURAL AND BIO-LOGICAL SCIENCES</u>								
Full-Time	-Master's	14		9		22		13
	-Doctoral	11		7		6		4
	-Other (Specify)							
	-Total	25		16		28		17
Part-Time	-Master's							
	-Doctoral							
	-Other (Specify)							
	-Total							
<u>ENGINEERING AND APPLIED SCIENCES</u>								
Full-Time	-Master's	96		118		111		97
	-Doctoral	39		39		46		40
	-Other (Specify)							
	-Total	135		157		157		137
Part-Time	-Master's	11		70		102		65
	-Doctoral	1		5		4		8
	-Other (Specify)							
	-Total	12		75		106		73

August 1973



Digitized by the Internet Archive
in 2024 with funding from
University of Toronto

<https://archive.org/details/39031204040281>

GRADUATE ENROLMENT DATADISTRIBUTION OF NEW REGISTERED GRADUATE STUDENTS (FULL-TIME AND PART-TIME)BY DISCIPLINE AREAHEALTH PROFESSIONS AND
OCCUPATIONS

	<u>1970-1971</u> <u>ACTUAL</u>	<u>1971-1972</u> <u>ACTUAL</u>	<u>1972-1973</u> <u>ACTUAL</u>	<u>1973-1974</u> <u>ESTIMATED</u>
Full-Time				
-Master's				2
-Doctoral		4		
-Other (Specify)				
-Total		4		2
Part-Time				
-Master's			1	1
-Doctoral				
-Other (Specify)				
-Total		1		1

MATHEMATICS AND THE
PHYSICAL SCIENCES

Full-Time	142	124	133	120
-Master's	60	50	42	46
-Doctoral				
-Other (Specify)	202	174	175	166
-Total				
Part-Time	11	12	7	6
-Master's		2		4
-Doctoral				
-Other (Specify)	11	14	7	10
-Total				

APPENDIX E

"Stop-outs" Returning to Either

Full or Part-time Studies

"STOP-OUTS" RETURNING TO EITHER FULL OR PART-TIME STUDIES

A. FULL-TIME

<u>Faculty</u>	<u>Yr. 1</u>	<u>Yr. 2</u>	<u>Yr. 3</u>	<u>Yr. 4</u>	<u>Make-up</u>	<u>Total</u>
Arts	14	12	6	7	2	41
Engineering	2	14	3	1	-	20
Env. Studies - Regular	-	2	3	3	-	8
- Co-op	-	1	2	5	-	8
H.K. & L.S. - Regular	1	1	2	1	-	5
- Co-op	-	1	1	-	-	2
Integrated Studies	-	1	-	-	-	1
Mathematics - Regular	3	9	3	2	2	19
- Co-op	1	1	-	-	-	2
Science - Regular	10	6	7	8	3	34
- Co-op	-	-	-	1	-	1
TOTAL	31	48	27	28	7	141

B. PART-TIME

<u>Faculty</u>	<u>Yr. 1</u>	<u>Yr. 2</u>	<u>Yr. 3</u>	<u>Yr. 4</u>	<u>Non-Degree or Make-up</u>	<u>Total</u>
Arts	2	4	2	-	4	12
Engineering	-	-	-	-	1	1
H. K. & L.S.	-	-	-	-	1	1
Mathematics	-	2	-	-	3	5
Science	-	-	1	-	1	2
TOTAL	2	6	3	-	10	21

APPENDIX F

Distribution of Year I by
Grade 13 Admission Average

DISTRIBUTION OF YEAR I BY GRADE 13 ADMISSION AVERAGE

	<u>1972</u>	<u>1971</u>	<u>1970</u>	<u>1969</u>	<u>1968</u>
Arts - 100.0% to 75%	95	97	70	51	49
74.9% to 65%	215	264	258	213	209
64.9% to 60%	<u>178</u>	<u>88</u>	<u>134</u>	<u>218</u>	<u>168</u>
	488	449	462	482	426
Engineering - 100.0% to 75%	259	189	213	192	141
74.9% to 65%	270	264	303	312	299
64.9% to 60%	<u>81</u>	<u>68</u>	<u>54</u>	<u>36</u>	<u>102</u>
	610	521	570	540	542
(1) Environmental Studies - 100.0% to 75%	66	78	58	34	12
74.9% to 65%	119	124	116	69	33
64.9% to 60%	<u>27</u>	<u>32</u>	<u>59</u>	<u>42</u>	<u>4</u>
	212	234	233	145	49
Mathematics - Regular - 100.0% to 75%	270	207	185	142	158
74.9% to 65%	185	198	235	139	133
64.9% to 60%	<u>62</u>	<u>39</u>	<u>59</u>	<u>66</u>	<u>70</u>
	517	444	479	347	361
Co-op - 100.0% to 75%	265	171	169	152	126
74.9% to 65%	81	53	128	125	110
64.9% to 60%	<u>1</u>	<u>2</u>	<u>2</u>	<u>-</u>	<u>13</u>
	347	226	299	277	249
(2) Human Kinetics & Leisure Studies					
Regular - 100.0% to 75%	31	17	-	-	-
74.9% to 65%	85	48	-	-	-
64.9% to 60%	<u>32</u>	<u>24</u>	<u>-</u>	<u>-</u>	<u>-</u>
	148	89	-	-	-
Co-op - 100.0% to 75%	26	25	27	23	13
74.9% to 65%	62	87	133	116	82
64.9% to 60%	<u>25</u>	<u>47</u>	<u>84</u>	<u>59</u>	<u>70</u>
	113	159	244	198	165
(3) Science - Regular - 100.0% to 75%	114	81	57	58	50
74.9% to 65%	169	125	104	78	96
64.9% to 60%	<u>87</u>	<u>94</u>	<u>103</u>	<u>89</u>	<u>102</u>
	370	300	264	225	248
Co-op - 100.0% to 75%	37	32	39	44	35
74.9% to 65%	27	22	42	45	62
64.9% to 60%	<u>5</u>	<u>7</u>	<u>19</u>	<u>16</u>	<u>23</u>
	69	61	100	105	120

	<u>1972</u>	<u>1971</u>	<u>1970</u>	<u>1969</u>	<u>1968</u>
Total Regular Programmes					
- 100.0% to 75%	576	480	370	285	269
74.9% to 65%	773	759	713	499	471
64.9% to 60%	<u>386</u>	<u>277</u>	<u>355</u>	<u>415</u>	<u>344</u>
	1,735	1,516	1,438	1,199	1,084
Total Co-op Programmes					
- 100.0% to 75%	587	417	448	411	315
74.9% to 65%	440	426	606	598	553
64.9% to 60%	<u>112</u>	<u>124</u>	<u>159</u>	<u>111</u>	<u>208</u>
	1,139	967	1,213	1,120	1,076
Total University					
- 100.0% to 75%	1,163	897	818	696	584
74.9% to 65%	1,213	1,185	1,319	1,097	1,024
64.9% to 60%	<u>498</u>	<u>401</u>	<u>514</u>	<u>526</u>	<u>552</u>
	2,874	2,483	2,651	2,319	2,160

- Notes: (1) In 1968, the figures shown in Environmental Studies are for Architecture; the Geography & Planning figures are included with Arts.
- (2) In Human Kinetics & Leisure Studies, admission to the regular programme started in 1971.
- (3) Regular Science includes students who were admitted to the old first year optometry programme.

APPENDIX G

University Policies

Academic Tenure

Leave of Absence

Extra-University Activity



POLICY

DATE

NUMBER

May 8, 1970

Academic #33A*

CANCELS

EFFECTIVE

January 21, 1969 Immediately

SUBJECT: ACADEMIC TENURE AT THE UNIVERSITY OF WATERLOO

A) Purpose of Tenure.

1) The general purpose of this tenure policy is to protect the academic freedom of the University's faculty members. The essential functions of the University are the pursuit and dissemination of knowledge and understanding through research and teaching. The University, therefore, must be a place for free responsible inquiry. There may be times when such inquiry brings its members into conflict with society, government, or even the University itself. Academic freedom is the protection of the faculty member from unreasonable pressures that may result from such conflicts.

2) The right to academic freedom carries with it the duty to use that freedom in a responsible and ethical way. Although the obligations and responsibilities of faculty members are difficult to define precisely, it shall be assumed that academic freedom also implies the necessity of accepting the various duties and obligations of faculty membership.

B) Definition and Scope.

1) Unless specifically noted otherwise, the provisions of this policy apply to all and only faculty members who hold full-time appointments in the rank of Professor, Associate Professor, and Assistant Professor. Specifically excluded from the provisions of this policy are all Lecturers, Visiting and part-time appointees, and research appointees in any of the professorial ranks.

2) The appointment status of a faculty member is governed solely by the written provisions contained in this Policy and in the official letters or written notices signed by the President, the Vice-President, Academic, or the Dean of appointment, reappointment, or change in appointment status.

3) In this Policy, tenure shall mean the holding by a member of the professorial staff of the University of a continuing appointment in his rank that the University has relinquished the freedom to terminate before the normal period of retirement except for cause and under the conditions specified in this Policy.

4) Tenure shall apply only in the academic ranks of Professor, Associate Professor, and Assistant Professor and shall be continued automatically on promotion in the new rank attained. Tenure shall not apply to administrative offices and functions (e.g., Deanship, Departmental Chairmanship), as such, held by faculty members with professorial appointments.

5) The salary (exclusive of stipends, etc.) of a tenured faculty member shall not suffer reduction unless:

- a) There is a general reduction of faculty salaries; or
- b) Such a reduction is agreed to by that faculty member; or
- c) Such a reduction has been considered and approved by a Salary Board (constituted as defined in the Faculty Salary Policy).

6) Tenure may be awarded and terminated only by the Board of Governors and only according to the mechanisms set out in this policy.

C Appointment Status.

1) The appointment status of each member of the faculty falling under the provisions of this policy shall be exactly one of the following:

- a) Definite Term. While reappointment is not formally precluded a faculty member on a definite term appointment is not entitled to any consideration for reappointment upon the expiration of his definite current term.
- b) Probationary Term. A faculty member on a probationary term appointment is entitled to formal consideration for reappointment, as prescribed in this policy.
- c) Tenured. The status of a tenured member of the faculty is defined in Section B.

2) New appointments and reappointments to the faculty in any of the professorial ranks may be made on a definite term, probationary term, or tenured basis. The nature of the appointment, the rights associated with it, and the length of the term in the case of a term appointment shall be clearly stated in the letter of appointment.

3) Except as characterised below, new appointees in the ranks of Associate Professor and Assistant Professor are normally given probationary term appointments of three or four years and new appointees in the rank of Professor are normally awarded tenure on appointment.

4) Definite term appointments may be made at any rank for terms of up to two years. Definite term appointments are appropriate in the following:

- a) Appointments to people who have not yet completed their University teaching qualifications;
- b) Appointments to fill a vacancy created by the temporary absence of a regular faculty member;
- c) Appointments to experimental or temporary programmes or to programmes insufficiently fixed in their character;
- d) Where an appointee of the required qualifications is not available and an appointment is made to fill the position on a temporary basis;
- e) Where the appointee has refused a tenured or probationary term appointment; and
- f) Where the appointee is within five years of, or beyond the normal retirement age.
- g) Where the provisions of Section G, Limitations, apply.

D) Expiration of Term Appointments.

1) All recommendations for other than the award of tenure made upon the expiration of a probationary term appointment should be made by the Chairman, after consultation with his senior colleagues, to the Dean who shall refer such recommendations to the Faculty Tenure Committee for review.

2) Each member of the faculty on a probationary term appointment shall

be notified in writing of his situation concerning reappointment at least twelve full months before the normal expiration of his current probationary term appointment. Should this not be done, the current probationary term appointment shall be automatically extended by one full year.

3) Should the Chairman wish to recommend the award of tenure upon the expiration of a probationary term appointment, the provisions of Section E apply.

4) It shall be the duty of the Dean to ensure that each full-time member of the faculty on a definite term appointment shall be notified in writing of his situation concerning reappointment no later than six months prior to the normal expiration of his current definite term appointment. Should this not be done, the situation concerning that faculty member will be reviewed by the Vice-President, Academic, in consultation with the President of the Faculty Association or his delegate.

E) The Award of Tenure.

1) While an untenured member of the faculty may be awarded tenure at any time through the procedures described below, Assistant Professors are normally so considered only after three years of full-time service at the University.

2) The procedure in general for the award of tenure is the following.

a) The Departmental Chairman, after consultation with tenured members of the Department, makes his recommendation for the award of tenure to the Dean.

b) The Dean shall refer all recommendations to a standing Faculty Tenure Committee for review. This Committee shall consist of the Vice-President, Academic (or his appointee), the Dean, and a number of senior tenured professors appointed by the Dean so as to be broadly representative of the Faculty's programme areas; the Vice-President, Academic, (or his appointee) shall chair this Committee.

c) In considering grounds for recommending the award of tenure, the Committee should have regard for, among other things, scholarship as exemplified in teaching and research. The Committee shall recommend for or against the award of tenure; in the latter case the Committee may also advise concerning reappointment or termination.

d) After receiving the advice of the Faculty Tenure Committee, the Dean shall make his recommendation for the award of tenure to the Senate. The Senate, recognized as having concern for the qualifications of faculty members, should be satisfied that a faculty member recommended for tenure has demonstrated a high quality of academic work in his field.

e) Recommendations for the granting of tenure that are approved by the Senate shall be submitted to the Board of Governors through the President.

f) In the case of recommendations for the award of tenure to new appointees, the Dean may receive the Chairman's recommendation and proceed, given the approval of the President, directly with it to the Board of Governors.

F) Review in the Faculty Tenure Committee.

1) In connection with all recommendations considered by the Faculty Tenure Committee, before a decision is made not to recommend to Senate that tenure be awarded, the Dean shall advise the faculty member and his Departmental Chairman of the possibility of such a decision and invite them separately to submit or make to the Committee whatever statements they separately believe are relevant to the Committee's deliberations.

2) The decision to recommend or not to recommend to Senate that tenure be awarded is not subject to review, except in extraordinary circumstances, to be determined by the Vice-President, Academic.

3) Where the decision is not to recommend to Senate the award of tenure, the Dean shall provide the faculty member and the Chairman of the reasons for the decision in writing.

G) Limitations.

1) No faculty member may serve more than six years of continuous full-time service (officially approved leaves of absence counting neither toward service nor as breaks in continuity) in any of the professorial ranks in a probationary capacity. Service beyond the sixth year must be on either a tenured or a definite term basis.

2) Except for those whose initial appointment was made within five years of normal retirement, a faculty member having served four years of continuous full-time service (officially approved leaves of absence counting neither toward service nor as breaks in continuity) in any of the professorial ranks from initial appointment on definite term appointment shall, if re-appointed, be granted a two-year probationary term appointment. Service beyond such a two-year probationary term appointment must be on either a tenured or a definite term basis.

H) Revocation of Tenure.

1) Recommendations for the termination of an individual's tenure shall be submitted to the Board of Governors by the President.

2) Such a recommendation shall be based only upon "adequate cause" as defined below. The President's recommendation may be submitted to the Board only after the President has received the report from the Special Senate Committee (see part (b) below), appointed by Senate for the specific purpose of considering and making recommendations on the particular situation. The Committee's report shall also be submitted to the Board.

3) When the Dean of a Faculty, or Director of a School, is convinced that cause for dismissal may exist, he should give notice of this to the President and to the Professor involved. Before the President makes any

recommendations to the Board, the following procedures should be carried out.

- a) Before any formal procedure is started the Vice-President, Academic, shall seek a meeting with the Professor involved in the presence of a senior Professor acceptable to both parties in a genuine attempt at settlement by informal mediation.
- b) If (a) fails, the Senate shall at the request of the Vice-President, Academic, establish a Committee of four tenured faculty members, one of whom shall act as Chairman, to investigate the case. The members of this Committee should be acceptable to both the Professor involved and the Vice-President, Academic. The Chairman of the Committee, shall be appointed by Senate and should be a senior Professor from outside the Department of the Professor involved and one who is not currently serving as Dean or Department Chairman. If agreement on the personnel of the Committee cannot be reached within two weeks, the most senior Justice of the Supreme Court of Ontario willing to do so should name the Committee members.
- c) The Professor involved shall be informed in writing of all the grounds advanced for his dismissal.
- d) The Professor involved shall be informed of the membership of the Committee as soon as it is struck. The Committee shall begin its deliberations no earlier than seven days and no later than thirty days from the time it is struck. Within these limits, the Professor involved shall be given sufficient time to prepare his case. The Chairman shall determine the preferences of the Professor involved for beginning in the earlier part or the later part of this period and shall arrange the beginning of the Committee's deliberations accordingly. The Chairman of the Committee shall determine the conduct and procedures of its deliberations, but the Professor involved shall decide whether hearings shall be conducted in public or in private. The Professor involved shall have the right to appear before the Committee and make representation either on his own behalf or with the aid of a colleague or counsel. He shall have the right to present witnesses and the right of cross-examination. Similarly, the University shall have the right to counsel, to present witnesses, and to cross-examine. Written notice of the intended presence of counsel shall be given to the Chairman of the Committee in advance.
- e) Only evidence relevant to the grounds as initially specified shall be admissible at the hearing. The originators of these grounds shall be present, if possible.
- f) The Professor involved shall continue at full salary and fringe benefits (e.g., University's contribution to the pension fund, etc.) until with proper procedure the Board of Governors, acting upon the President's recommendation, dismisses him. He may, at his own, or the Dean's request be temporarily relieved of his duties during the period of the hearings.
- g) Should the Board of Governors dismiss a tenured Professor in accordance with the procedures specified in this policy, the effective

date of dismissal shall be the last day of the month in which the Board has acted. In such cases, arrangements concerning the termination of salary and benefits shall be made by the President after discussion with the Committee and with the Faculty Association.

h) If the Senate Committee finds that the grounds are not substantiated or (if substantiated), not serious enough to warrant dismissal, the Committee shall so report to the Senate and the matter shall then be dropped.

i) Whatever the outcome of the hearings, the Professor involved shall receive a written statement of the factual findings and reasons for the Committee's decision.

j) In cases where the Dean of a Faculty has given notice to the President that cause for dismissal may exist and where the Professor involved is unavailable for participation in the procedures described above, the President shall ask the Faculty Association to appoint a person to act for the Professor involved.

k) The Committee shall have the right to establish within the framework of this policy its own operating procedures and practices.

I) Adequate Cause.

The basis for termination by the University of an appointment with tenure shall be restricted to adequate cause. Adequate cause is defined generally, to mean service to the University which falls notably below a reasonable standard and, specifically to include any of the following: a) persistent neglect of duty; b) inability to carry out reasonable duties; c) academic incompetence; d) gross misconduct.

J) Policy Review.

A Committee consisting of two faculty members appointed by the Faculty Association and two members appointed by the President shall review this policy and suggest revisions thereof upon written request by the University of Waterloo or by the University of Waterloo Faculty Association or at intervals not exceeding three years.



POLICY

DATE

NUMBER

September 24, 1968 Academic #3A

CANCELS

EFFECTIVE

Academic #3

Immediately

SUBJECT: LEAVE OF ABSENCE FOR FACULTY MEMBERS

I. GENERAL

The University recognizes that, in some instances, faculty members may wish to obtain a leave of absence. Generally speaking, the granting of a leave of absence, with or without pay, will depend upon the University's estimate of the value of such a grant to the University as well as to the individual. The policy is to be interpreted in the sense that leave of absence is a privilege to be earned and not a right to be claimed.

Requests for a leave of absence for a period in excess of one year will not normally be considered. Further, the University will not normally consider granting a leave of absence unless it is immediately preceded by one year of full-time teaching service.

Requests for leave of absence will normally be considered under the following categories:-

II. Leave with Pay

III. Leave without Pay

It is understood that leave for any of these purposes can only be granted if, in the opinion of the Department Chairman and the Dean of the Faculty, the teaching and other responsibilities of the applicant can be adequately provided for in his absence.

II. LEAVE WITH PAY

A. Sabbatical Leave

Sabbatical leave is intended to assist the faculty member in his scholarly pursuits, and application for such leave will only be considered if in the opinion of the Dean and Department Chairman it is deemed desirable for scholarly purposes. Sabbatical leave may be granted for a period of up to twelve months and the University will continue salary payments to the grantee on the following terms:

"full salary for half-year leave, or half salary for full-year leave".

"Half-year leave" shall mean leave from normal teaching duties in the University for one term (approximately four months) of the two terms normally required (see Policy Bulletin: General #14 dated April 28/65, Section II. A.) in a twelve month period.

II. LEAVE WITH PAY - (CONTINUED)

A. Sabbatical Leave - (Continued)

"Full-year leave" shall mean leave from normal teaching duties in the University for the two terms normally required in a twelve month period. "Full-year leave" at half salary will mean that salary is adjusted to half its normal value for a twelve month period.

1. Eligibility

In order for a faculty member to be eligible to apply for sabbatical leave, he shall have completed six years of full-time appointment in professorial ranks (Professor, Associate Professor, Assistant Professor) which shall include twelve terms of regular teaching duties, subject to the following conditions:-

- a) If a given year of full-time teaching in one of the professorial ranks is immediately preceded by one or two consecutive years in a regular, full-time teaching appointment as Lecturer, then one or two of these years as Lecturer may, at the discretion of the Dean and Department Chairman, be counted among the six for purposes of eligibility.
- b) If a faculty member is eligible to apply for sabbatical leave and such leave is deferred, the additional time served shall be counted toward an eligibility for a succeeding sabbatical leave.
- c) Normally, the University will not consider granting two sabbatical leaves to a faculty member in such a way that one immediately precedes the other.

B. Special Leave

At the discretion of the President, with the approval of the Board of Governors, special leave, with individual arrangements, may be granted.

III. LEAVE WITHOUT PAY

Requests from faculty members in the professorial ranks for leaves of absence without pay for periods of up to one year may be considered at any time. Consideration of such requests will be given on an individual basis. When leave without pay is granted, salary will be withheld at the rate of six months without pay for each of the two normally required four-month regular teaching terms in any one year.

IV. APPLICATIONS & APPROVALS

In all cases a request for leave of absence with or without pay must be made through the Department Head and approved by the Dean. In case II. above, the consent of the Vice-President, Academic, the President, and the Board of Governors, will be necessary. In case III. above, the approval of the Board of Governors will not be required.

V. PENSION & INSURANCE BENEFITS

For the purpose of pension and benefits, a person on leave of absence shall be considered to be employed by the University.

Life insurance and salary continuance insurance must be continued in force during a period of leave of absence whether or not an individual remains on the University payroll. The University will continue its life insurance and salary continuance insurance contributions based on the normal, regular salary of the faculty member concerned.

Sickness and accident insurance may be continued during a leave of absence at the discretion of the faculty member. If the individual elects to continue sickness and accident insurance, the University will pay one half of the premium during the period of leave of absence. It is suggested that faculty members continue sickness and accident insurance even when the principal portion of a leave is spent in a country with a national health plan, in order that waiting periods (if any), travel periods, time spent in other countries on holidays, or other such matters, are covered.

Pension contributions will be continued by the faculty member and by the University only if the faculty member remains on the payroll. Both the individual and the University contributions will be based on actual taxable salary paid during the leave of absence.

As a condition of approval for a leave of absence without pay, post-dated cheques to cover the portion of benefit payments normally made by the faculty member must be left with the University prior to the beginning of the leave.

When leave of absence is with pay, the portion of benefit payments normally made by the faculty member will be deducted from his salary payments.



POLICY

DATE	NUMBER
April 3, 1973	General #49
CANCELS	EFFECTIVE
New	Immediately

SUBJECT: A POLICY CONCERNING EXTRA-UNIVERSITY ACTIVITY

This document is designed to assist faculty and administration in understanding what may or may not be appropriate by way of extra-university activity. The guidelines given in Section II on extra-university activities are intended to supplement the statement on the responsibilities of full-time faculty as outlined in Section I.

I. FULL TIME ACADEMIC APPOINTMENTS AT THE UNIVERSITY OF WATERLOO

"Appointments to the faculty as Professor, Associate Professor, Assistant Professor and Lecturer are 12 month appointments, and carry an explicit commitment and responsibility for two terms per annum (a total of approximately 8 months in a 12-month period) of lecturing, scholarly work, academic supervision of students, setting and marking of examinations and general participation in University affairs through councils and committees. At the University of Waterloo, with its co-operative programmes, this eight month commitment is not necessarily in the Fall and Winter terms. Apart from one month's vacation each year, there is a specific duty to supervise graduate students, and in some cases undergraduate students, for the remainder of the year, where appropriate, and there is an implicit undertaking to pursue activities of a scholarly or professionally developing character such as travel, research writing and studying. It is acknowledged that salary merit increases and promotions to higher ranks are influenced by the full range of achievements in the year, not just those in the period when duties are explicitly committed." (Extract from Policy #14, April 3, 1973)

II. EXTRA-UNIVERSITY ACTIVITIES

A. General

It is well known and generally accepted that extra-university involvement has certain positive characteristics and can play an important role in the academic life of the university. For instance,

1. It can promote interaction between the university and the non-university world to the benefit of both;
2. It can facilitate the placing of students in temporary or permanent employment;
3. It can aid in the discovery of research and thesis problems;

4. It can contribute to the professional development of a faculty member through the acquisition of new skills and techniques;
5. It can provide an additional opportunity for the faculty member to apply knowledge to practical situations.

In order that a faculty member may properly fulfill his/her responsibilities to the university, in the areas of teaching, research and administration, such activities beyond his/her normal commitments should not be excessive. Extra-university activities may produce consequences that are not to be measured merely in terms of hours expended. The distraction of non-university occupations, the expenditure of emotional energies, the obligations contingent on accepting external fees and salaries may all interfere in the proper discharge of the primary, university duties. Beyond the individual's responsibility for judging when this is happening and altering his/her arrangements accordingly, there is an administrative responsibility for making such judgment. In order to assist both the faculty member and chairman and/or dean the following guidelines are offered.

B. Guidelines

1. Each individual case should be considered on its own but the overriding consideration in determining whether a given activity is proper is whether it impinges on the performance of those duties which are the prime responsibility of a faculty member.
2. Consulting, research or teaching for which extra payment may be received or on which considerable time is expended, may be desirable because this activity contributes in an essential way to the intellectual development of the faculty member and/or his/her students. This is especially relevant in those areas involved in the training and supervision of graduate and undergraduate students in a field setting.
3. Extra-university work which is the subject of a contract involving the university will be covered by a separate document countersigned by the University but the guidelines outlined below apply to this kind of activity also.
4. Regular appointments to the university must be construed as constituting a full-time occupation. Given this understanding, any extra-university occupation that requires more than one work day a week should be examined and judged very carefully. It is the responsibility of the individual faculty member to inform his/her department chairman and dean concerning any of his/her activities where expenditure of time is substantial.

SUBJECT: A POLICY CONCERNING EXTRA-UNIVERSITY ACTIVITY

APRIL 3, 1973

5. Where use of university space or equipment is involved, permission must be sought from the appropriate university authority. Where permission is granted, overhead charges will be assessed by the university where such charges are appropriate.

NOTE:

Faculty members should be aware that the University's General Liability Insurance Policy does not cover professional Architectural and Engineering services which might be provided to its employees. A standard Disclaimer Clause is written in to all contracts drawn with the University or under the authority of the University. Members of faculty providing professional Architectural or Engineering services outside these kinds of contracts would be wise to carry adequate personal professional insurance or seek legal advice regarding a Disclaimer Clause in any contracts they might enter into.

APPENDIX H

University Policy

Staff Grievances



POLICY

DATE	NUMBER
October 25, 1971	Personnel #36
CANCELS	EFFECTIVE
New	Immediately

SUBJECT : STAFF GRIEVANCES

I. APPLICATION

This policy applies to all full-time staff members who have completed their probationary period.

II. OBJECTIVE

To create a systematic method of reviewing management acts with respect to the facts on which the act is based and/or the fairness of the act, when such acts are questioned by the individual affected.

III. WHAT ACTS CAN BE REVIEWED

Acts involving discipline, demotion, discharge, physical working conditions, failure to apply University policies or procedures; or misapplication of University policies or procedures are subject to the Staff Grievance procedure.

A. Discharge

The most serious issue usually subject to the Staff Grievance procedure will be discharge. Except under exceptional circumstances such as proven dishonesty, physical attack on others or insubordination, individuals discharged subsequent to completion of the probationary period will have received a written warning, a suspension or a second written warning in lieu thereof, and counselling within their department or elsewhere prior to discharge.

IV. PRESENTATION OF A GRIEVANCE

A grievance may be initiated through the following two channels:

A. Channel 1, Supervision

The individual who feels that an action affecting him should be reviewed may request clarification of the action from his supervisor or speak to his supervisor's supervisor. If he is not satisfied at either level, he may then request (if the act is subject to the Staff Grievance procedure) that the grievance procedure be commenced.

IV. PRESENTATION OF A GRIEVANCE (cont'd)

B. Channel 2, Personnel Department

The individual may approach the Personnel Department either after talking with his supervisor or prior to talking with his supervisor and, if the matter is subject to this procedure, request formal discussions. Should the approach be directly to the Personnel Department the issue will always be referred back to the supervisor for possible resolution, prior to commencement of formal discussion proceedings.

V. FORMAL DISCUSSION

The procedure outlined here consists of two stages; formal discussion and arbitration.

Before any formal discussion process begins, the supervisor involved in a problem must have an opportunity to resolve the problem. At this stage any level of management above the supervisor may also wish to approach the problem and resolve the issue in question. Should this fail, formal discussion may be requested. A request for formal discussion must be accompanied by a written statement by the staff member, presenting an exact description of the management action which he is questioning.

The formal discussion process is based on the following assumptions:

1. In some cases, negative reaction to a supervisory action is based on lack of understanding or misinformation.
2. In some cases, supervisory actions are based on incorrect facts or inappropriate decisions and should be modified.
3. Involvement of a third party may be useful in helping both parties to review and modify their points of view.

Formal discussion is designed to be an objective process involving the examination of the points at issue and concluding the discussion by:

1. explaining the action in question to the satisfaction of the staff member involved;
2. modifying the action appropriately;
3. reversing the action completely; or
4. concluding that some other method of resolving the issue should be pursued.

V. FORMAL DISCUSSION (cont'd)

The Personnel Department has been assigned responsibility for conducting the formal discussion process. The Personnel Department should attempt to discover a reasonable resolution within University policies or procedures; and within reasonable considerations of equity. It should be noted that the Personnel Department, in this process, has as its only power the power of persuasion. Therefore, either party to a dispute, by refusing to change a position, may force the issue to arbitration.

VI. ARBITRATION

Where the problem has not been solved in formal discussions, the issue in question may be referred to arbitration. The University of Waterloo arbitration committee will consist of the following individuals:

1. two staff members elected by the staff at large and two alternates similarly elected;
2. three staff members, one each appointed by the Vice-President, Academic-the Vice-President, Finance and Operations-and the President of the University-and three alternates similarly appointed;
3. the Director of Personnel or his delegate. Such an individual will be a non-voting member of the arbitration committee and will be responsible for interpreting relevant University policies or procedures to the committee where necessary, either personally or by inviting appropriate resource people from within the University community to supply data to the arbitration committee.

(Elections and appointments should be arranged in such a way that alternates do not come from the same department. When an individual feels a personal involvement in an arbitration he may elect to disqualify himself in favour of his alternate. When an arbitration involves a committee member's own department he must yield in favour of his alternate. Initial appointments will be as follows: One staff member will be elected for three years and one for two; their alternates will serve similar terms. One staff appointee will be appointed for three years, one for two years, and one for one year; their alternates will serve similar terms. The initial appointments will provide for staggered replacement of committee members. All subsequent elections and appointments will be for a three-year term.)

The arbitration committee will have the power to reverse, modify or uphold a management decision made by the department involved. It will not have the power to alter or modify University policies or procedures, or to develop new University policies or procedures.

VI. ARBITRATION (cont'd)

In general, the arbitration committee will base its decision on:

1. the determination of the relevant facts;
2. questions of correctness, and fairness of actions based on reasonable interpretation of University policies or procedures.

The conclusion of the arbitration committee will be final and binding on all parties. Assurance that the decision is implemented will be the responsibility of the University President, except that the President will reserve the right to reverse an arbitration decision when, in his judgment, the decision of the arbitration committee alters or modifies the generally recognized intent of the relevant University policy or procedure.

The arbitration committee will appoint a chairman from its members. The chairman will have responsibility for establishing and maintaining orderly proceedings, developing methods of maintaining committee records and determining the manner in which decisions will be presented.

When the arbitration committee meets to review a grievance the supervisory action under review will be presented by the appropriate department head, or his delegate from within the University community.

The position of the individual whose problem is being discussed will be presented by:

1. the individual presenting the problem for discussion;
2. any other member of the University community who is a full-time member of the community and appointed by the individual presenting the problem for discussion (providing that such member is willing to serve).

Witnesses may be called from within the University community.

Discussion of a problem must reach the formal discussion stage within three weeks after the action that caused the problem or this procedure will not apply. When discussions within a department take longer than three weeks, this period may be extended.

Where arbitration is required, a meeting of the arbitration committee will be held as soon as possible after either party in the formal discussion so requests.

